

Request for Records Disposition Authority

Records Schedule Number DAA-0170-2017-0007

Schedule Status Approved

Agency or Establishment Drug Enforcement Administration

Record Group / Scheduling Group Records of the Drug Enforcement Administration

Records Schedule applies to Agency-wide

Schedule Subject Inspections

Internal agency concurrences will
be provided No

Background Information These files relate to the review of DEA's processes, assets, facilities, information, and personnel; subsequent corrective actions for noted deficiencies; DEA's final determination; safeguarding and disseminating classified information; security measures taken for the protection of Government and privately operated facilities; and security of personnel authorized access to any Government resources. All DEA offices will maintain these records, to include: Offices of Inspections, Information, Administration, Personnel, Intelligence, and Enforcement.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
6	2	4	0

GAO Approval

Outline of Records Schedule Items for DAA-0170-2017-0007

Sequence Number	
1	Audit and Inspection Files Disposition Authority Number: DAA-0170-2017-0007-0001
2	DEA Employee Security Files Disposition Authority Number: DAA-0170-2017-0007-0002
3	Integrity Files Disposition Authority Number: DAA-0170-2017-0007-0003
4	Shooting Files Disposition Authority Number: DAA-0170-2017-0007-0004
5	External Audit and Inspection Files Disposition Authority Number: DAA-0170-2017-0007-0005
6	Internal Compliance Evaluation Files Disposition Authority Number: DAA-0170-2017-0007-0006

Records Schedule Items

Sequence Number					
1	<p>Audit and Inspection Files</p> <p>Disposition Authority Number DAA-0170-2017-0007-0001</p> <p>Records relating to reviewing and examining DEA offices to ensure proper protection of assets; compliance with policies, procedures, and objectives; effectiveness of DEA functions that have commercial counterparts for the purpose of finding the most cost efficient method of performing the activity, including contracting the activity; implementation of corrective actions for each assessable unit identified in the inventory of DEA components, programs, and administrative functions; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. Accumulation of these records results from DEA field and headquarters offices reviewing their own operations; the Office of Inspections conducting on-site reviews of these office activities; the Office of Compliance performing compliance evaluations of programs or functions; and federally mandated requirements such as: OMB A-76, A-123, and A-130. May include, but is not limited to: final reports from Office of Inspections, copies of final reports from Office of Compliance, evidentiary documentation, corrective action status updates, analysis, interrogatories, studies, lists, surveys, recommendations, associated training records, and correspondence.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <table border="1"> <thead> <tr> <th>Manual Citation</th> <th>Manual Title</th> </tr> </thead> <tbody> <tr> <td>1610</td> <td>DEA Records Information System (DEARIS) Handbook</td> </tr> </tbody> </table> <p>GRS or Superseded Authority Citation N1-170-94-001 / 140-04/a/1 N1-170-94-001 / 140-04/a/2 N1-170-94-001 / 140-04/b N1-170-94-001 / 170-03 N1-170-94-001 / 170-06/a/2 N1-170-94-001 / 170-06/b</p>	Manual Citation	Manual Title	1610	DEA Records Information System (DEARIS) Handbook
Manual Citation	Manual Title				
1610	DEA Records Information System (DEARIS) Handbook				

N1-170-94-001 / 170-07
N1-170-04-002 / 170-08/a/1
N1-170-04-002 / 170-08/a/2
N1-170-04-002 / 170-08/b
N1-170-86-001 / 180-02/a
N1-170-86-001 / 180-02/b
N1-170-86-001 / 180-03/a
N1-170-86-001 / 180-03/b
N1-170-86-001 / 180-04/a
N1-170-86-001 / 180-04/b
N1-170-86-001 / 180-05/a
N1-170-86-001 / 180-05/b
N1-170-86-001 / 180-06/a
N1-170-86-001 / 180-06/b
N1-170-86-001 / 180-07/a
N1-170-86-001 / 180-07/b
N1-170-86-001 / 180-10/a
N1-170-86-001 / 180-10/b
N1-170-86-001 / 180-12/a
N1-170-86-001 / 180-12/b
N1-170-86-001 / 180-14/a
N1-170-86-001 / 180-14/b
N1-170-86-001 / 180-15/a
N1-170-86-001 / 180-15/b
N1-170-86-001 / 180-16/a
N1-170-86-001 / 180-16/b
N1-170-86-001 / 180-17/a
N1-170-86-001 / 180-17/b
N1-170-86-001 / 180-18/a
N1-170-86-001 / 180-18/b
N1-170-86-001 / 180-19/a
N1-170-86-001 / 180-19/b
N1-170-86-001 / 180-20/a
N1-170-86-001 / 180-20/b
N1-170-86-001 / 180-21/a
N1-170-86-001 / 180-21/b
N1-170-86-001 / 180-22/a
N1-170-86-001 / 180-22/b
N1-170-86-001 / 180-23/a
N1-170-86-001 / 180-23/b
N1-170-86-001 / 180-25/a
N1-170-86-001 / 180-25/b
N1-170-86-001 / 180-26/a
N1-170-86-001 / 180-26/b
N1-170-86-001 / 180-27/a
N1-170-86-001 / 180-27/b

N1-170-86-001 / 180-33/a
 N1-170-86-001 / 180-33/b
 N1-170-86-001 / 180-35/a
 N1-170-86-001 / 180-35/b
 N1-170-01-003 / 250-01/a/1/b
 N1-170-01-003 / 250-01/a/2/a
 N1-170-01-003 / 250-01/a/2/b
 N1-170-01-003 / 250-01/a/3/b
 N1-170-01-003 / 250-01/b/1/b
 N1-170-01-003 / 250-01/b/2/a
 N1-170-01-003 / 250-01/b/2/b
 N1-170-01-003 / 250-01/b/3/a
 N1-170-01-003 / 250-01/b/3/b
 N1-170-89-001 / 480-04
 NC1-170-77-001 / 510-02
 N1-170-89-001 / 190-06
 N1-170-89-001 / 190-07
 N1-170-89-001 / 190-08/a/2
 N1-170-89-001 / 190-08/b
 DAA-0170-2015-0003-0001 (In Part) Copies of documents furnished to external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General.

Disposition Instruction

Cutoff Instruction

Cut off at completion of final action.

Retention Period

Destroy 15 year(s) after completion of final review

Additional Information

GAO Approval

Not Required

DEA Employee Security Files

Disposition Authority Number

DAA-0170-2017-0007-0002

Records reflecting attacks or threats of attacks against DEA employees, facilities, and assets including acts of terrorism. May include, but not limited to: transcripts, reports, violations, and correspondence.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Yes

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Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
1621	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation **N1-170-89-001 / 210-08**

Disposition Instruction

Cutoff Instruction **Cut off upon final action.**

Retention Period **Destroy 5 year(s) after cut off.**

Additional Information

GAO Approval **Not Required**

Integrity Files

Disposition Authority Number **DAA-0170-2017-0007-0003**

Records related to investigations by the Office of Professional Responsibility, involving criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. May include, but not limited to: personnel integrity files, polygraph files, accident and incident files, adverse action files, and positive drug test result files.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
1630	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation **N1-170-89-001 / 201-03/a
N1-170-89-001 / 201-03/b
N1-170-89-001 / 201-04/a**

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N1-170-89-001 / 201-04/b
N1-170-04-001 / 1

Disposition Instruction

Cutoff Instruction

Cut off at close of case.

Retention Period

Destroy 20 year(s) after close of investigation or 1 year after close of investigation, if investigation remained open beyond 20 years.

Additional Information

GAO Approval

Not Required

Shooting Files

Disposition Authority Number

DAA-0170-2017-0007-0004

Records documenting incidents where force was used by DEA or task force officers. May include, but is not limited to: reported details of the incident, testimony, training certification documents, interim and final reports.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Yes

Do any of the records covered by this item exist as structured electronic data?

Yes

Manual Citation	Manual Title
1640	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation

N1-170-94-001 / 170-04/a
N1-170-94-001 / 170-04/b

Disposition Instruction

Cutoff Instruction

Cut off at the close of the investigation.

Retention Period

Destroy 10 year(s) after cut off.

Additional Information

GAO Approval

Not Required

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External Audit and Inspection Files

Disposition Authority Number **DAA-0170-2017-0007-0005**

Records that document DEA's response to a review of DEA programs, operations, and procedures conducted by external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General. May include but not limited to: copy of final findings or recommendations, response to findings, follow up progress reports, supporting information to assertions, memorandums, system print outs, communications between DEA and external entity, and related documents provided to external entities following the issuance of final audit report. This schedule excludes copies of documents provided during the initial audit or investigation.

Final Disposition **Permanent**

Item Status **Active**

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
1670	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation **DAA-0170-2015-0003-0001 (In Part) Audits, inspections, reviews, and other assessments of DEA programs, operations, and procedures conducted by external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General. Records include notices of intent, tentative findings and recommendations, advance notice of findings, reports of findings, reports of exit conferences, draft reports, final reports, follow up progress reports, comments relating to the reports, and related documents.**

Disposition Instruction

Cutoff Instruction **Cut off upon submission of final action.**

Transfer to Inactive Storage **Transfer to inactive storage 6 years after cut off.**

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cut off

Additional Information

First year of records accumulation 2015

What will be the date span of the initial transfer of records to the National Archives? From 1977 To 2020

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper	3 Cubic feet	0.25 Cubic feet
Microform		
Hardcopy or Analog Special Media		

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Internal Compliance Evaluation Files

Disposition Authority Number DAA-0170-2017-0007-0006

Records that document the evaluation of DEA operations for compliance with policies and guidelines. These records reflect the review of establishment, performance, progress, accomplishments, deficiencies, needs, and problems in relation to the goals or objectives for the program being evaluated or may be limited in scope to specific aspects of a program. Included are final reports, executive summaries, recommendations, corrective actions, and related correspondence. This schedule excludes copies of documents provided during the initial evaluation.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? **Yes**

Manual Citation	Manual Title
1660	DEA Records Information System (DEARIS) Handbook

GRS or Superseded Authority Citation **N1-170-94-001 / 170-06/a/1
N1-170-89-001 / 190-08/a/1**

Disposition Instruction

Cutoff Instruction **Cut off upon submission of final action.**

Transfer to Inactive Storage **Transfer to inactive storage 6 years after cut off.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives 15 year(s) after cut off.**

Additional Information

First year of records accumulation **1987**

What will be the date span of the initial transfer of records to the National Archives? **From 2012 To 2017**

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	5 MB	1 MB
Paper	2 Cubic feet	0.2 Cubic feet
Microform		
Hardcopy or Analog Special Media		

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
09/26/2017	Return to Submitter	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
09/27/2017	Return to Submitter	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
09/27/2017	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
01/26/2018	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1
06/15/2018	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
06/15/2018	Return to Submitter	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
06/15/2018	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
06/15/2018	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
10/15/2018	Return for Revision	Jeremy Schmidt	Archives Specialist	National Archives and Records Administration - ACRA Appraisal Team 1

02/06/2019	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
02/06/2019	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
06/05/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
07/02/2019	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
07/02/2019	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
10/30/2019	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
11/12/2019	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
11/12/2019	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Records Management Unit
08/06/2020	Return for Revision	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
08/28/2020	Submit For Certification	Deidra Thornton	Records and Information Management Specialist	Office of Administration - Records Management Unit
08/28/2020	Certify	Janet Gardner	Chief, records Management Unit	Drug Enforcement Administration - Drug Enforcement Administration

01/05/2021	Submit for Concurrency	Lloyd Beers	Appraisal Archivist	National Archives and Records Administration - ACNR Records Management Services
01/22/2021	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - ACNR Records Management Services
01/22/2021	Concur	Laurence Brewer	Chief Records Officer	National Records and Archives Administration - National Records and Archives Administration
01/25/2021	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist

ITEM	Proposed Item Title and Description	New Retention	Series Level Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
DAA-0170-2017-0007-0001	Audit and Inspection Files - Records relating to reviewing and examining DEA offices to ensure proper protection of assets; compliance with policies, procedures, and objectives; effectiveness of DEA functions that have commercial counterparts for the purpose of finding the most cost efficient method of performing the activity, including contracting the activity; implementation of corrective actions for each assessable unit identified in the inventory of DEA components, programs, and administrative functions; and the accuracy, propriety, legality, and reliability of actions taken primarily in connection with the use of assets. Accumulation of these records results from DEA field and headquarters offices reviewing their own operations; the Office of Inspections conducting on-site reviews of these office activities; the Office of Compliance performing compliance evaluations of programs or functions; and federally mandated requirements such as: OMB A-76, A-123, and A-130. May include, but is not limited to: final reports from Office of Inspections, copies of final reports from Office of Compliance, evidentiary documentation, corrective action status updates, analysis, interrogatories, recommendations, studies, lists, surveys, and correspondence.	Temporary	Cut off at completion of final action. Destroy 15 years after completion of final review.				
				Revisions to Comprehensive Schedule - Management Improvement Files - A-76 Program Files - Agency-wide	Documents relating to reviews of DEA functions that have commercial counterparts for the purpose of finding the most cost efficient method of performing the activity, including contracting the activity. Files include: performance work statements; performance analyses and recommendations based on studies conducted; studies; lists of commercial activities; reports; and correspondence with in DEA and with DOJ concerning the status of the program.		
				Revisions to Comprehensive Schedule - Management Improvement Files - Agency-wide	A-76 Program Files - Office performing DEA-wide staff responsibility - Record copies of studies and reports	N1-170-94-001 / 140-04/a/1	Temporary - Destroy when 15 years old.
				Revisions to Comprehensive Schedule - Management Improvement Files - Agency-wide	A-76 Program Files - Other documents	N1-170-94-001 / 140-04/a/2	Temporary - Destroy 5 years after completion of the project.
				Revisions to Comprehensive Schedule - Management Improvement Files - Agency-wide	A-76 Program Files - Other HQ and Field Offices	N1-170-94-001 / 140-04/b	Temporary - Destroy 5 years after completion of the project.
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Inspection and Audit Support Files - Documents used to collect data for or during an inspection or audit of a DEA activity. Included are interview sheets, interrogatories, checklists, notes; statistical data; copies of SOP's, organizational charts, functional charts, personnel data, workload data; and similar material collected for part fact-finding or back-up purpose.	N1-170-94-001 / 170-03	Temporary - Destroy 10 years after inspection or audit.
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Integrity Assurance Program Review Files - Office of inspections - Other documents	N1-170-94-001 / 170-06/a/2	Temporary - Destroy other documents 8 years after review.
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Integrity Assurance Program Review Files - Other Headquarters and field offices	N1-170-94-001 / 170-06/b	Temporary - Destroy 8 years after completion of review.
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Integrity Assurance Program Review Support Files	N1-170-94-001 / 170-07	Temporary - Destroy 8 years after the IAP review.
				Inspection and Audit Files - Office of Inspections	Inspection and Audit Files - Office performing DEA-wide staff responsibility - Record copy of final report	N1-170-04-002 / 170-08/a/1	Temporary - Transfer to Federal Records Center when 5 years old. Destroy when 15 years old.
				Inspection and Audit Files - Office of Inspections	Inspection and Audit Files - Office performing DEA-wide staff responsibility - Supporting Documentation	N1-170-04-002 / 170-08/a/2	Temporary - Destroy supporting documentation 10 years after accomplishment of internal review.

ITEM	Proposed Item Title and Description	New Retention	Series Level Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
				Inspection and Audit Files - Office of Inspections	Inspection and Audit Files - Other HQ and Field Offices	N1-170-04-002 / 170-08/b	Temporary - Destroy 10 years after completion of internal review actions.
				Revisions and Additions to DEA Current Records Manual - Office of Administration	Documents are the annual statements to the Attorney General, the President, and the Congress. This file also contains documents which establish internal reporting in accordance with published guidelines and scheduling, monitoring, and reporting documents relating to vulnerability assessments, internal control reviews, and corrective actions which are used to support the annual written assurances from the Administrator to the Attorney General.	N1-170-86-001 / 180-02	
					A-123 Tracking and Reporting System Files - Headquarters	N1-170-86-001 / 180-02/a	Temporary - Destroy 10 years after submission of DEA annual report to the Attorney General. Form DEA-462 and computer printouts may be destroyed 2 years after the end of the reporting period.
					A-123 Tracking and Reporting System Files - Other offices	N1-170-86-001 / 180-02/b	Temporary - Destroy 6 years after completion of internal review actions.
				Revisions and Additions to DEA Current Records Manual - Office of Administration	Documents relating to internal and external reports of audit on DEA's implementation of the Federal Managers' Financial Integrity Act of 1982. Included are notices of intent to audit, copies of documents furnished to auditors, reports of findings and recommendations, draft reports, final reports, follow-up progress reports, responses to reports, and any other related documents.	N1-170-86-001 / 180-03	
					A-123 Audits and Reviews Files - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-03/a	Temporary - Destroy 10 years after final report, except draft reports may be destroyed on receipt of final report.
					A-123 Audits and Reviews Files - Other offices	N1-170-86-001 / 180-03/b	Temporary - Destroy 6 years after final report.
				Revisions and Additions to DEA Current Records Manual - Office of Administration - Records Management Section	Documents identifying the segmentation of all DEA programs and administrative functions in each organizational element for the purpose of evaluating systems of internal control. The inventory is a comprehensive coverage of each organization's activities.	N1-170-86-001 / 180-04	
					A-123 Inventory of Assessable Units - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-04/a	Temporary - Destroy 10 years after completion of internal control review cycle.
					A-123 Inventory of Assessable Units - Other offices	N1-170-86-001 / 180-04/b	Temporary - Destroy 6 years after completion of internal control review cycle.
				Revisions and Additions to DEA Current Records Manual - Office of Administration	Documents related to establishing, operating, and dissolving committees which consider, advise, take action, and report on A-123. They include DOJ and other inter-agency A-123 committees in which DEA participates.	N1-170-86-001 / 180-05	
					A-123 Committee Files - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-05/a	Temporary - Destroy when 10 years old.
					A-123 Committee Files - Other offices	N1-170-86-001 / 180-05/b	Temporary - Destroy when 6 years old.
				Revisions and Additions to DEA Current Records Manual - Office of Administration	Documents related to incorporating Internal Control Systems as an element in program managers' Performance Work Plans; certifications that the A-123 element has been added and discussed with subordinates; and sample element statements. Does not include individual Performance Work Plans.	N1-170-86-001 / 180-06	
					A-123 Performing Work Plan Files - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-06/a	Temporary - Destroy when 10 years old.
					A-123 Performing Work Plan Files - Other offices	N1-170-86-001 / 180-06/b	Temporary - Destroy when 10 years old.

ITEM	Proposed Item Title and Description	New Retention	Series Level Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
				Revisions and Additions to DEA Current Records Manual - Office of Administration	Documents related to conducting A-123 training courses. Included are curricula, schedules, lesson plans, rosters of attendees, and critiques. Both in-house DEA and formal training course data is included.	N1-170-86-001 / 180-07	
					A-123 Training Files - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-07/a	Temporary - Destroy when 10 years old.
					A-123 Training Files - Other offices	N1-170-86-001 / 180-07/b	Temporary - Destroy when 6 years old.
				Revisions and Additions to DEA Current Records Manual - Office of Administration	A-123 Process Files by Organizational Component. Documents related to the performance of vulnerability assessments, conducting internal control reviews, and implementing corrective actions for each assessable unit identified in the inventories of DEA components, programs, and administrative functions. Assessable unit files are in numerical order of the identifier log numbers assigned by the program office for A-123 management oversight; each assessable unit is to have a separate folder. The basic file number for each organizational component is listed below.	N1-170-86-001 / 180-010 through 180-35	
					A-123/Office of the Controller - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-010/a	Temporary - Destroy when 10 years old.
					A-123/Office of the Controller - Other Offices	N1-170-86-001 / 180-010/b	Temporary - Destroy when 6 years old.
					A-123/Administrative Law Judge - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-012/a	Temporary - Destroy when 10 years old.
					A-123/Administrative Law Judge - Other Offices	N1-170-86-001 / 180-012/b	Temporary - Destroy when 6 years old.
					A-123/Office of Chief Counsel - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-014/a	Temporary - Destroy when 10 years old.
					A-123/Office of Chief Counsel - Other Offices	N1-170-86-001 / 180-014/b	Temporary - Destroy when 6 years old.
					A-123/Office of Congressional and Public Affairs - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-015/a	Temporary - Destroy when 10 years old.
					A-123/Office of Congressional and Public Affairs - Other Offices	N1-170-86-001 / 180-015/b	Temporary - Destroy when 6 years old.
					A-123/Office of Diversion Control - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-016/a	Temporary - Destroy when 10 years old.
					A-123/Office of Diversion Control - Other Offices	N1-170-86-001 / 180-016/b	Temporary - Destroy when 6 years old.
					A-123/Equal Employment Opportunity Staff - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-017/a	Temporary - Destroy when 10 years old.
					A-123/Equal Employment Opportunity Staff - Other Offices	N1-170-86-001 / 180-017/b	Temporary - Destroy when 6 years old.
					A-123/Office of Administration - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-018/a	Temporary - Destroy when 10 years old.
					A-123/Office of Administration - Other Offices	N1-170-86-001 / 180-018/b	Temporary - Destroy when 6 years old.
					A-123/Office of Information Systems - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-019/a	Temporary - Destroy when 10 years old.
					A-123/Office of Information Systems - Other Offices	N1-170-86-001 / 180-019/b	Temporary - Destroy when 6 years old.
					A-123/Office of Planning and Inspection - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-020/a	Temporary - Destroy when 10 years old.
					A-123/Office of Planning and Inspection - Other Offices	N1-170-86-001 / 180-020/b	Temporary - Destroy when 6 years old.
					A-123/Office of Intelligence - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-021/a	Temporary - Destroy when 10 years old.
					A-123/Office of Intelligence - Other Offices	N1-170-86-001 / 180-021/b	Temporary - Destroy when 6 years old.
					A-123/Office of International Programs - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-022/a	Temporary - Destroy when 10 years old.
					A-123/Office of International Programs - Other Offices	N1-170-86-001 / 180-022/b	Temporary - Destroy when 6 years old.
					A-123/Investigative Support Section - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-023/a	Temporary - Destroy when 10 years old.
					A-123/Investigative Support Section - Other Offices	N1-170-86-001 / 180-023/b	Temporary - Destroy when 6 years old.
					A-123/Operations Drug Desks - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-025/a	Temporary - Destroy when 10 years old.
					A-123/Operations Drug Desks - Other Offices	N1-170-86-001 / 180-025/b	Temporary - Destroy when 6 years old.

ITEM	Proposed Item Title and Description	New Retention	Series Level Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
					A-123/Operations Management Staff- Office performing DEA A-123 management oversight	N1-170-86-001 / 180-026/a	Temporary - Destroy when 10 years old.
					A-123/Operations Management Staff- Other Offices	N1-170-86-001 / 180-026/b	Temporary - Destroy when 6 years old.
					A-123/Office of Personnel - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-027/a	Temporary - Destroy when 10 years old.
					A-123/Office of Personnel - Other Offices	N1-170-86-001 / 180-027/b	Temporary - Destroy when 6 years old.
					A-123/Office Science and Technology - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-033/a	Temporary - Destroy when 10 years old.
					A-123/Office Science and Technology - Other Offices	N1-170-86-001 / 180-033/b	Temporary - Destroy when 6 years old.
					A-123/Office of Training - Office performing DEA A-123 management oversight	N1-170-86-001 / 180-035/a	Temporary - Destroy when 10 years old.
					A-123/Office of Training - Other Offices	N1-170-86-001 / 180-035/b	Temporary - Destroy when 6 years old.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Market survey, pre-construction survey, or mid-construction survey - Other DEA offices	N1-170-01-003 / 250-01/a/1/b	Temporary - Destroy 1 year after completion of the respective survey.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Government owned facilities - Final Acceptance - Physical Security Section	N1-170-01-003 / 250-01/a/2/a	Temporary - Destroy when 3 years old when no longer needed for agency business, whichever is later.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Government owned facilities - Final Acceptance - Other DEA offices	N1-170-01-003 / 250-01/a/2/b	Temporary - Destroy when no longer needed for agency business.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Government owned facilities - Cover letter and comprehensive report - Other DEA offices	N1-170-01-003 / 250-01/a/3/b	Temporary - Destroy when no longer needed for agency business.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Privately owned facilities - Market survey, pre-construction survey, or mid-construction survey - Other DEA Offices	N1-170-01-003 / 250-01/b/1/b	Temporary - Destroy 1 year after completion of the respective survey.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Privately owned facilities - Final acceptance - Physical Security Section	N1-170-01-003 / 250-01/b/2/a	Temporary - Destroy when 4 years old or when no longer needed for agency business, whichever is later.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Privately owned facilities - Final acceptance - Other DEA offices	N1-170-01-003 / 250-01/b/2/b	Temporary - Destroy when no longer needed for agency business.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Privately owned facilities - Cover letter and comprehensive report - Physical Security Section	N1-170-01-003 / 250-01/b/3/a	Temporary - Destroy 4 years from the completion date of the Comprehensive Physical Security Survey.
				Office of Security Programs, Physical Security Section	Facilities Survey and Inspection Files - Privately owned facilities - Cover letter and comprehensive report - Other DEA offices	N1-170-01-003 / 250-01/b/3/b	Temporary - Destroy when no longer needed for agency business.
				Comprehensive - Procurement Management Files	Procurement Reviews, Inspections, and Audit Files - Documents relating to the review, inspection, and audit of procurement matters and contracts for such aspects as legal sufficiency, appropriateness of award, reasonableness of cost and price, preparation of documents, etc. Included are copies or extracts of reports made by DEA inspectors, procurement staff personnel, and DOJ or GAO auditors. Also included are recommendations for corrective action, resolutions, and related follow-up correspondence. Replies to FOIA requests for purchasing information are also included.	N1-170-89-001 / 480-04	Temporary - Destroy 6 years and 3 months after date of final report
				Comprehensive - Personnel Program Files	Personnel Inspection Files Documents reflecting inspections conducted by the OPM and other authorized agencies. Included are reports of inspection, reports of corrective action taken, and similar related documents.	NC1-170-77-001 / 510-02	Temporary - Destroy 1 year after next comparable inspection.
				Comprehensive - Office of Administration	Strategic Planning and Policy and Program Evaluation Files.	N1-170-89-001 / 190-01 thru 190-08	

ITEM	Proposed Item Title and Description	New Retention	SeriesLevel Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
					Policy and Program Evaluation Administrative Correspondence Files - Memoranda, status reports, management comments, and other devices for assigning, monitoring, and controlling projects; implementation of recommendations and follow-up on their status; general correspondence, and other documents related to the administration and operation of program evaluation functions.	N1-170-89-001 / 190-06	Temporary - Destroy 5 years after completion of required actions.
					Policy and Program Evaluation Background Files	N1-170-89-001 / 190-07	Temporary - Destroy 5 years after completion of required actions.
					Policy and Program Evaluation Files - Other documents.	N1-170-89-001 / 190-08/a/2	Temporary - Destroy 5 years after completion of required actions.
					Policy and Program Evaluation Files - Other offices.	N1-170-89-001 / 190-08/b	Temporary - Destroy 5 years after completion of required actions.
				Audit Report Files - Agency-wide	(In Part) Copies of documents furnished to external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General.	DAA-0170-2015-0003-0001	Temporary - Cut-off at the end of the calendar year when all related actions have been completed. Destroy 6 years after cutoff.
DAA-0170-2017-0007-0002	DEA Employee Security Files - Records reflecting attacks or threats of attacks against DEA employees, facilities, and assets including acts of terrorism. May include, but not limited to: transcripts, reports, violations, and correspondence.	Temporary	Cut off upon final action. Destroy 5 years after cutoff.				
				Comprehensive - Personnel Security Files	Security of DEA Employees Files - Documents relating to assaults and threat of assaults against DEA employees and acts of terrorism against DEA employees or facilities.	N1-170-89-001 / 210-08	Temporary - Destroy 5 years after date of correspondence or when information is superseded or obsolete.
DAA-0170-2017-0007-0003	Integrity Files - Records related to investigations by the Office of Professional Responsibility, involving criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. May include, but not limited to: personnel integrity files, polygraph files, accident and incident files, adverse action files, and positive drug test result files.	Temporary	Cutoff at close of case. Destroy 20 years after close of investigation or 1 year close of investigation, if open beyond 20 years.				
				Revisions to Agency Manual - Office of Professional Responsibility	Integrity Case Files - Reports related to investigations by the Office of Professional Responsibility including criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. Included are DEA reports and supporting documents and correspondence relative to the investigation.	N1-170-94-001 / 201-03/a	Temporary - a. Cases pertaining to GS/GM1811 personnel: Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with paragraph b.
				Revisions to Agency Manual - Office of Professional Responsibility	Integrity Case Files	N1-170-94-001 / 201-03/b	Temporary - b. Cases pertaining to non GS/GM1811 personnel: Destroy 10 years from date case was opened if closed for at least 1 year. Cases not closed after 10 years will be retained for 1 year after closing before disposition.
				Revisions to Agency Manual - Office of Professional Responsibility	Integrity General Files - Reports of preliminary investigations to determine violations of criminal or civil laws, departmental codes or DEA regulations. Also, to include other administrative infractions such as accidental discharge of firearms, etc.	N1-170-94-001 / 201-04/a	a. Cases pertaining to GS/GM1811 personnel: Retain cases until non-destruction edicts vacated by court order. Once vacated, comply with paragraph b.
				Revisions to Agency Manual - Office of Professional Responsibility	Integrity General Files	N1-170-94-001 / 201-04/b	Temporary - b. Destroy 10 years after report of investigation is approved or all required actions are completed. Files not closed after 10 years will be retained for 1 year after closing before disposition.

ITEM	Proposed Item Title and Description	New Retention	Series Level Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
				Polygraph Program Files - Office of Investigative Technology	Integrity Case Files - Forms related to the performance of a polygraph and the polygraphs related to investigations by the Office of Professional Responsibility, involving criminal or civil violations of laws, departmental codes or DEA regulations, and integrity and security matters. Related records are located in the Office of Professional Responsibility under File No. 201-03 (N1-170-89-1). This citation shown in the schedule is wrong. It should be N1-170-94-001 /201-03	N1-170-04-001 / 1	Temporary - Destroy 10 years from date case was opened if closed for at least 1 year. Cases not closed after 10 years will be retained for 1 year after closing before disposition. NOTE: Cases pertaining to GS/GM 1811 personnel (agent): Retain cases until non-destruction edict is vacated by court order. Once vacated, comply with approved disposition.
DAA-0170-2017-0007-0004	Shooting Files - Records documenting incidents where force was used by DEA or task force officers. May include, but is not limited to: reported details of the incident, testimony, training certification documents, interim and final reports.	Temporary	Cut off at the close of the investigation. Destroy 10 years after cut off.				
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Shooting Incident Files - Office of Inspections	N1-170-94-001 / 170-04/a	Temporary - Destroy 10 years after completion of the investigation.
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Shooting Incident Files - Other HQ and Field Offices	N1-170-94-001 / 170-04/b	Temporary - Destroy after 6 years.
DAA-0170-2017-0007-0005	External Audit and Inspection Files - Records that document DEA's response to a review of DEA programs, operations, and procedures conducted by external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General. May include but not limited to: copy of findings or recommendations, response to findings, follow up progress reports, supporting information to assertions, memorandums, system print outs, communications between DEA and external entity, and related documents provided to external entities following the issuance of final audit report. This schedule excludes copies of documents provided during the initial audit or investigation.	Permanent	Cut off upon submission of final action. Transfer to inactive storage 6 years after cutoff. Transfer to the National Archives 20 years after cut off.				
				Audit Report Files - Agency-wide	Documents relating to audits, inspections, reviews and other assessments of DEA programs, operations, and procedures conducted by external entities such as the Government Accountability Office and the Department of Justice, Office of Inspector General. Records include notices of intent, copies of documents furnished to such entities, tentative findings and recommendations, advance notice of findings, reports of findings, reports of exit conferences, draft reports, final reports, follow up progress reports, comments relating to the reports, and related documents.	DAA-0170-2015-0003-0001	Temporary - Cut-off at the end of the calendar year when all related actions have been completed. Destroy 6 year(s) after cut-off. These files were originally scheduled under NC1-170-77-001 / 170-01/a/1 as permanent. The proposed reinstatement of this retention is explained in the appraisal memo.
DAA-0170-2017-0007-0006	Internal Compliance Evaluation Files - Records that document the evaluation of DEA operations for compliance with policies and guidelines. These records reflect the review of establishment, performance, progress, accomplishments, deficiencies, needs, and problems in relation to the goals or objectives for the program being evaluated or may be limited in scope to specific aspects of a program. Included are final reports, executive summaries, recommendations, corrective actions, and related correspondence. This schedule excludes copies of documents provided during the initial evaluation.	Permanent	Cutoff upon submission of final action. Transfer to inactive storage 6 years after cutoff. Transfer to the National Archives 20 years after cut off.				
				Revisions to Comprehensive Schedule - Audit Services Files - Agency-wide	Integrity Assurance Program Review Files - Office of inspections - Final Report and Replies thereto	N1-170-94-001 / 170-06/a/1	Permanent

ITEM	Proposed Item Title and Description	New Retention	Series Level Cut off Instructions, where applicable	Superseded Schedule Title and Office of Record	Current Series Title	Superseded Authority	Superseded Retention
					Policy and Program Evaluation Files - Documents used to reflect the formulation, actual performance, progress, accomplishments, deficiencies, needs, and problems in relation to goals and objectives defined or developed for policies or programs and operations. Included are evaluation reports and executive summaries and recommendations. Evaluations and studies may range in scope from a comprehensive review of Agency-wide policies, programs, and operations to a specific segment or phase within an organization.	N1-170-89-001 / 190-08/a/1	Permanent - a. Office performing DEA-wide staff responsibility: (1) Record copy of approved evaluations and studies and executive summaries and recommendations that result in significant improvement or substantial savings in programs or operations: Transfer to Federal Records Center after 8 years. Offer to NARA after 20 years.